



Department of Defense DIRECTIVE

NUMBER 5210.42

May 25, 1993

Administrative Reissuance Incorporating Through Change 2, December 15, 1995

ASD(C3I)

SUBJECT: Nuclear Weapon Personnel Reliability Program (PRP)

- References:
- (a) DoD Directive 5210.42, "Nuclear Weapon Personnel Reliability Program," December 6, 1985 (hereby canceled)
 - (b) Section 1408 of title 8, United States Code
 - (c) [DoD Directive 1010.4](#), "Alcohol and Drug Abuse by DoD Personnel," August 25, 1980
 - (d) [DoD Directive 5210.56](#), "Use of Deadly Force and the Carrying of Firearms by DoD Personnel Engaged in Law Enforcement and Security Duties," February 25, 1992
 - (e) through (l), see enclosure 1

1. REISSUANCE AND PURPOSE

This Directive:

1.1. Reissues reference (a) to update policy, responsibilities, and procedures for the management of the DoD Nuclear Weapon PRP.

1.2. Ensures the highest possible standards of individual reliability in personnel performing duties associated with nuclear weapons and critical components.

1.3. Requires the selection and retention of only those personnel who are emotionally stable, physically capable, and who have demonstrated reliability and professional competence. Individuals who do not meet or maintain program standards shall not be selected for, or retained in, the PRP or assigned duties associated with nuclear weapons.

2. APPLICABILITY AND SCOPE

This Directive applies to:

2.1. The Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Unified and Specified Combatant Commands, the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as "the DoD Components").

2.2. DoD military and civilian personnel and contractor employees assigned to PRP positions or in training leading to assignment to PRP positions.

3. DEFINITIONS

Terms used in this Directive are defined in enclosure 2.

4. POLICY

It is DoD policy that:

4.1. The Department of Defense shall support the national security of the United States by maintaining an effective nuclear deterrent while protecting the public health, safety, and environment. For that reason, nuclear weapons require special consideration because of their policy implications and military importance, their destructive power, and the political consequences of an accident or an unauthorized act. The safety, security, control, and effectiveness of nuclear weapons are of paramount importance to the security of the United States.

4.2. Nuclear weapons shall not be subject to loss, theft, sabotage, unauthorized use, unauthorized destruction, unauthorized disablement, jettison, or accidental damage.

4.3. Only those personnel who have demonstrated the highest degree of individual reliability for allegiance, trustworthiness, conduct, behavior, and responsibility shall be allowed to perform duties associated with nuclear weapons, and they shall be continuously evaluated for adherence to PRP standards.

4.4. Personnel who are selected to perform nuclear weapon duties shall be

assigned to designated PRP positions and that those positions shall be occupied only by U.S. citizens or U.S. nationals. Examples of nuclear weapon duty and designated PRP positions are shown at enclosure 3. Section 1408 of 8 U.S.C. (reference (b)) is the statutory basis for the designation of individuals as "U.S. nationals."

4.5. The PRP does not apply to active duty, Reserve, and National Guard units not possessing nuclear weapons, nuclear components, or Nuclear Command and Control (NC2) systems and equipment unless certified by a Service inspection activity as a "nuclear capable delivery unit."

4.6. Although adherence to PRP procedures during the transition to war and during wartime may be impractical, particularly in a combat theater, the intent of PRP policy shall apply. In such circumstances, the Heads of the DoD Components shall ensure that only the most reliable individuals are selected to perform nuclear weapon duties.

4.7. The denial of eligibility or the revocation of certification for assignment to PRP positions is neither a punitive measure nor the basis for disciplinary action. The failure of an individual to be certified for assignment to PRP duties does not necessarily reflect unfavorably on the individual's suitability for assignment to other duties.

4.8. Only DoD military or civilian personnel shall perform the duties of a PRP position unless it has been determined by the Head of a DoD Component that contractor personnel are required and essential. Contractor employees performing duties in PRP positions shall meet the reliability standards of this Directive, and the standards and procedures in enclosure 4 shall be incorporated into all contracts involving nuclear duties. Additionally, contractor employees shall perform nuclear duties only on those specific DoD installations or in cleared contractor facilities authorized by the Head of the DoD Component.

5. RESPONSIBILITIES

5.1. The Assistant Secretary of Defense for Command, Control, Communications and Intelligence shall:

5.1.1. Develop and promulgate PRP policy, standards, and procedures, and provide management oversight of the PRP.

5.1.2. Review the DoD Component PRP implementation guidance for

consistency with policy, evaluate programmatic reviews and management audits of the PRP, and direct research and analysis of the PRP.

5.2. The Assistant Secretary of Defense (Force Management and Personnel) shall:

5.2.1. Advise and consult on PRP policy, standards, and procedures for all DoD military and civilian personnel offices for personnel actions about the PRP.

5.2.2. Advise on Federal civilian personnel management matters about the PRP.

5.2.3. Advise and consult on PRP education and training materials about personnel management of the PRP.

5.3. The Assistant Secretary of Defense (Health Affairs) shall:

5.3.1. Develop and promulgate policies and procedures for medical evaluation of PRP candidates and personnel, medical aspects of PRP administration, and rehabilitation programs.

5.3.2. Conduct periodic and special reviews of the effectiveness of PRP medical policies, standards, and procedures.

5.4. The Assistant Secretary of Defense (Reserve Affairs) shall ensure that the DoD Coordinator for Drug Enforcement Policy and Support shall:

5.4.1. Develop and promulgate policies, standards, and procedures for the detection and deterrence of DoD military and civilian personnel substance abuse.

5.4.2. Coordinate with the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I)) on specific policies and reviews of effectiveness of drug abuse policies that have unique application for individuals in the PRP.

5.4.3. Advise on development of education and training materials on substance abuse.

5.5. The General Counsel of the Department of Defense shall review PRP policy and guidelines for legal sufficiency.

5.6. The Heads of the DoD Components shall:

5.6.1. Implement this Directive in their DoD Components.

5.6.2. Recommend PRP policy and procedure changes and submit requests for waivers to PRP requirements for review and approval or disapproval.

6. PROCEDURES

Detailed PRP procedural requirements are in enclosure 4.

7. INFORMATION REQUIREMENTS

An annual PRP status report shall be forwarded to the ASD(C3I). That report has been assigned Report Control Symbol (RCS) DD-C3I(A)1403 (formerly DD-POL(A)1403), and the report instructions and format are in enclosure 5.

8. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward one copy of implementing documents to the Assistant Secretary of Defense for Command, Control, Communications and Intelligence within 120 days. Forward one copy of changes to implementing instructions within 60 days.

A handwritten signature in black ink, reading "William J. Perry". The signature is written in a cursive, flowing style.

William J. Perry
Deputy Secretary of Defense

Enclosures - 5

- E1. References, continued
- E2. Definitions
- E3. PRP Positions Designations
- E4. PRP Procedures
- E5. Instructions for Preparation of the PRP Annual Status Report (RCS:
DD-C3I(A)1403)

E1. ENCLOSURE 1

REFERENCES, continued

- (e) DoD 5200.2-R, "DoD Personnel Security Program," January 1987, authorized by DoD Directive 5200.2, May 6, 1992
- (f) [DoD Directive 5210.41](#), "Security Policy for Protecting Nuclear Weapons," September 23, 1988
- (g) DoD Directive S-5210.81, "United States Nuclear Command and Control (U)," June 18, 1991
- (h) DoD 5210.48-R, "Polygraph Program," January 1985, authorized by DoD Directive 5210.48, December 24, 1984
- (i) [DoD Directive 5400.7](#), "DoD Freedom of Information Act Program," May 13, 1988
- (j) [DoD Directive 5400.11](#), "Department of Defense Privacy Program," June 9, 1982
- (k) [DoD Directive 1010.1](#), "Drug Abuse Testing Program," December 28, 1984
- (l) [DoD Directive 1010.9](#), "DoD Civilian Employees Drug Abuse Testing Program," August 23, 1988

E2. ENCLOSURE 2

DEFINITIONS

E2.1.1. Access. Proximity to a nuclear weapon or nuclear component affording an opportunity to tamper with or damage a nuclear weapon when such activities could go undetected. Normally, a person near a weapon would not be considered to have access if an escort or a guard was provided for either the person or the weapon.

E2.1.2. Active Service. Active duty in the U.S. military or continuous Federal service. For PRP purposes, the following apply:

E2.1.2.1. An interruption in active military service of over 24 months constitutes a break in active service. Inactive service in the Armed Forces Reserve or National Guard components does not constitute active service, even though active duty periods for training or other temporary service of less than 180 days may occur.

E2.1.2.2. Assignment as a midshipman or cadet at any of the four Service academies is considered active service for PRP purposes.

E2.1.2.3. Assignment as a Reserve Officers Training Corps, Merchant Marine Academy, and Maritime Academy cadet or midshipman is not considered to be active service.

E2.1.3. Agency and Installation PRP Monitor. An individual in the military grade of E-5, or above, or a civilian in the equivalent grade for nonmilitary organizations, appointed to administer and conduct oversight of the day-to-day functions of the PRP at DoD Agencies and installations whose PRP consists of 100, or more, personnel.

E2.1.4. Alcohol Abuse. The use of alcohol to an extent that it has an adverse effect on the user's health, behavior, family, community, or the Department of Defense and/or the illegal use of such substances. (See DoD Directive 1010.4 (reference (c).))

E2.1.5. Armed. Equipped with a loaded firearm. (See DoD Directive 5210.56, reference (d).)

E2.1.6. Central Adjudication Facility (CAF). A single facility designated by the Head of the DoD Component to evaluate personnel security investigations (PSIs) and other relevant information and to render personnel security determinations.

E2.1.7. Certifying Official. For military and DoD civilian personnel, the commander, or DoD military or civilian official, responsible for nuclear weapons operations in a PRP position allowing sufficient personal contact with all subordinate PRP personnel to permit continual evaluation of their performance and reliability. For DoD contractor personnel, the certifying official shall be the DoD military or civilian official designated in the contract.

E2.1.8. Competent Medical Authority. A U.S. military medical officer, or a U.S. civilian physician employed by, or under contract to, the U.S. Government, responsible for providing medical services or clinical evaluation, as specified by the certifying official and, when appropriate, the reviewing official.

E2.1.9. Controlled Position. A position whose incumbent, because of assigned nuclear duties:

E2.1.9.1. Has access, but no technical knowledge;

E2.1.9.2. Controls entry into areas containing nuclear weapons, but does not have access or technical knowledge; or

E2.1.9.3. Is armed and/or assigned duty for nuclear weapon security that would afford the opportunity to inflict damage on the weapon or, when joined, to its delivery system; or

E2.1.9.4. Has been designated as a "certifying official" at operational unit or staff activities with only designated controlled PRP positions.

E2.1.10. Counterintelligence Scope Polygraph (CSP) Examination. A polygraph examination in which the scope of the relevant question is restricted to specific counterintelligence topics.

E2.1.11. Critical Position. A position whose incumbent, because of assigned nuclear duties:

E2.1.11.1. Has access and technical knowledge;

E2.1.11.2. Can either directly or indirectly cause the launch or use of a nuclear weapon;

E2.1.11.3. Controls access to or uses positive control materials or devices

such as sealed authentication systems, permissive action link (PAL) materials and related codes, strategic and tactical nuclear certified computer data (NCCD), emergency action messages, or release procedures for nuclear weapons; or

E2.1.11.4. Has been designated as a "certifying official" at operational unit or staff activities with designated "critical PRP" positions.

E2.1.12. Decertification. An action based on the receipt of disqualifying information to remove from the PRP an individual who has been screened, determined reliable, and certified capable of performing duties involving nuclear weapons.

E2.1.13. Disqualification. An action taken based on the receipt of disqualifying information to terminate the PRP qualification process of an individual considered for, or in training leading to the assignment to, duties involving nuclear weapons.

E2.1.14. DoD Personnel. Active duty military personnel, civilian employees of the Department of Defense, or for PRP purposes, DoD contractors and their employees.

E2.1.15. Drug Abuse. The use or possession of controlled substances, or illegal drugs, or the nonmedical or improper use of other drugs (e.g., prescription and over-the-counter, etc.) that are packaged with a recommended safe dosage. That includes the use of substances for other than their intended use (e.g., glue and gasoline fume sniffing or steroid use for other than that which is specifically prescribed by competent medical authority). (See DoD Directive 1010.4, reference (c).)

E2.1.16. Entrance National Agency Check (ENTNAC). A PSI consisting of a records review of certain national agencies. It is identical to a National Agency Check (NAC), except that the check at the Federal Bureau of Investigation Identification Division (FBI/ID) consists of a "name check only" rather than a detailed technical fingerprint search. An ENTNAC is started on each first-term military enlistee entering Military Service.

E2.1.17. Exclusion Area. A designated area immediately surrounding one or more nuclear weapons and/or systems. Normally, the boundaries of the area are the walls, floor, and ceiling of a structure, or are delineated by a permanent or temporary barrier. In the absence of positive preventive measures, access into the exclusion area constitutes access to the nuclear weapons and/or systems.

E2.1.18. Limited Area. A designated area immediately surrounding one or more exclusion areas and the outer or inner barrier or boundary of the perimeter security system.

E2.1.19. National Agency Check (NAC). A PSI consisting of records reviews of certain national agencies. As a minimum, it includes checks of the Defense Clearance and Investigations Index, the FBI Headquarters and the FBI/ID. A technical fingerprint search of FBI/ID files is started as part of a NAC. If the fingerprint card is not classifiable, a "name check only" of those files is conducted.

E2.1.20. NAC Plus Written Inquiries (NACI). A PSI conducted by the Office of Personnel Management that combines a NAC with written inquiries to law enforcement agencies, former employers and supervisors, references, and schools.

E2.1.21. Nuclear Certified Computer Data (NCCD). Nuclear certified media containing nuclear mission or launch control data.

E2.1.22. Periodic Reinvestigation (PR). An investigation conducted at specified intervals for updating a previously completed PSI on individuals occupying PRP positions.

E2.1.23. Personnel Security Investigation (PSI). Any investigation required for determining the eligibility of DoD military or civilian personnel and contractor employees for access to classified information, acceptance, or retention in the Armed Forces, or assignment to, and retention in, sensitive duties.

E2.1.24. Positive Control Materials or Devices. Sealed authentication systems, PAL, coded switch system, positive enable system, or NCCD.

E2.1.25. Random Testing. A program of testing where the selection of personnel for substance abuse testing is based on a random opportunity to be tested and is not imposed based on events about a particular individual. Random testing may be either testing of designated individuals occupying a specified area, element, or position, or random testing of those individuals based on a neutral criterion, such as a digit of the social security number.

E2.1.26. Reviewing Official. The commander, or designated DoD military or civilian official, at a level immediately above that of the certifying official, who is responsible for operations involving nuclear weapons.

E2.1.27. Sensitive Position. Any position so designated in the Department of Defense, the occupant of which could bring about, by virtue of the type of the position, a materially adverse effect on the national security. All civilian positions are either "critical-sensitive," "noncritical-sensitive," or "nonsensitive."

E2.1.28. Single-Scope Background Investigation (SSBI). A PSI consisting of both record reviews and interviews with sources of information. The period of investigation for a SSBI covers the most recent 10 years of an individual's life or since the 18th birthday, whichever is shorter, if at least the last 2 years are covered. No investigation shall be conducted before an individual's 16th birthday.

E2.1.29. Technical Knowledge. Knowledge that would allow an individual to perform an intentional act on a nuclear weapon, a critical nuclear weapon system component, or positive control material in a manner that could go undetected during normal monitoring or operations and could cause the unauthorized prearming, arming, launching, firing, releasing, disablement, or detonation of a nuclear weapon or degradation of weapon performance.

E2.1.30. U.S. Citizen (Native Born). A person born in one of the following locations is considered to be a U.S. citizen for PRP purposes; i.e., the 50 States, and the District of Columbia, Puerto Rico, Guam, American Samoa, Northern Marina Islands, U.S. Virgin Islands, the Federated States of Micronesia, and the Republic of the Marshall Islands. Additionally, a person born to U.S. citizens living in a foreign country for which a U.S. birth certificate is issued.

E2.1.31. U. S. National. A citizen of the United States or other person formally designated as a "U.S. national." Section 1408 of 8 U.S.C. (reference (b)) provides a detailed identification of noncitizen U.S. nationals.

E3. ENCLOSURE 3PRP POSITION DESIGNATIONS

(This matrix is provided to assist in identifying PRP positions. Only certified nuclear-capable units require position designations.)

<u>DUTY POSITION</u>	<u>DUTY POSITION EXAMPLE</u>	<u>PRP DESIGNATION</u>
1. Commanders of delivery units	Navy -- surface ship and submarine; Air Force -- wing, group, and squadron; persons delegated to act for the above on nuclear weapon operations.	Critical
2. Pilots and crew, delivery aircraft; missile crew	Pilots, navigators, and bombardiers; weapon system officers; electronic system officers; missile crew members.	Critical
3. Delivery unit personnel and supervisors		
a. With access and technical knowledge	Persons who by the nature of their assigned duties could cause the unauthorized launch, release, or firing of a nuclear weapon.	Critical
b. With access, no technical knowledge	Handling, transporting, and launch personnel.	Controlled
c. Without access	Support such as clerks, cooks.	None
4. Commanders, nuclear support units	Army -- direct support or general support depot; Navy -- weapon station or Naval magazine, weapons division officer; Air Force munitions or missile maintenance squadron; or Marine Corps -- Marine wing weapons unit.	Critical

DUTY POSITION	DUTY POSITION EXAMPLE	PRP DESIGNATION
5. Nuclear support unit personnel and supervisors		
a. With access and technical knowledge	Persons who perform modifications, retrofits, limited life component changes, and similar tasks.	Critical
b. With access, no technical knowledge	Handling, transporting, and launch personnel.	Controlled
c. Without access	Support personnel such as clerks, cooks.	None
6. Personnel in command and control line	Persons who control or use authenticators and/or emergency action messages; permissive action link teams and management personnel; staff officers who could direct the employment of nuclear weapons; contractor and other personnel who control or use strategic or tactical NCCD.	Critical (May also be specially designated personnel -- see position example 16., below.)
7. Handling and transport personnel	Storage and supply personnel, supply clerks, vehicle operator, crane operators.	Controlled
8. Pilots and crew, transport aircraft		
a. With access	Self-explanatory.	Controlled
b. Without access	Self-explanatory.	None

DUTY POSITION	DUTY POSITION EXAMPLE	PRP DESIGNATION
9. Explosive ordnance disposal (EOD)		
a. With access and technical knowledge	EOD technicians.	Critical
b. Without access	EOD technicians not assigned to PRP billets; EOD support such as clerks and mechanics.	None
10. Command disablement management team		
a. With access and technical knowledge	Personnel tasked with coding/recoding/ checking built-in CDS and external controlled CD	Critical
b. With access, no technical knowledge	Command Disablement Team	Controlled
11. Security guards		
a. Internal and inside of perimeter	Persons who control access into an exclusion area or a limited area; includes permanently assigned guards in any such area.	Controlled
b. Alarm monitors	Persons who control primary and redundant intrusion detection systems annunciation equipment.	Controlled
c. External to perimeter	Persons permanently assigned to nuclear weapon security duties who are armed and could inflict damage on a nuclear weapon or, when joined, to the delivery system.	Controlled
d. Escort	Persons controlling access to weapons during transport.	Controlled

DUTY POSITION	DUTY POSITION EXAMPLE	PRP DESIGNATION
e. Augmenters		
(1) Armed	Persons routinely assigned to duties directly for nuclear weapon security who are armed or could inflict damage on a nuclear weapon or, when joined, to the delivery system.	Controlled
	Persons assigned to the augmentation response force.	None
(2) Not armed	Persons routinely assigned to nuclear weapon security duty who are not armed or could not inflict damage on a nuclear weapon or, when joined, its delivery system.	None
12. Delivery system maintenance personnel and supervisors	Persons who could cause the unauthorized launch, release, or firing of a nuclear weapon.	Critical
a. With access, no technical knowledge		Controlled
b. Without access		None
13. Nuclear weapon inspectors	Position equal to that being inspected.	
a. With access		Critical or controlled
b. Without access		None
14. Custodial unit personnel		
a. Custodians		Critical
b. Custodial agents		Controlled

<u>DUTY POSITION</u>	<u>DUTY POSITION EXAMPLE</u>	<u>PRP DESIGNATION</u>
15. Communications security personnel	Persons who receive, maintain, and distribute sealed authenticators, PAL material, or related codes	Critical
16. Designated NC2 personnel	Personnel with access to NC2 coding and authentication processes and a communications medium necessary to transmit release, execution, or termination orders; personnel involved in the preparation and production of NC2 coding and authentication documents and equipment; personnel involved in preparation and production of nuclear weapons targeting tapes and materials; and other personnel who could have an adverse impact on system performance for nodes and equipment that represent near-single-point-failure elements for the NC2 system.	Critical

E4. ENCLOSURE 4

PRP PROCEDURES

E4.1. GENERAL

E4.1.1. Purpose. The purpose of the PRP is to ensure that each person who performs duties involving nuclear weapons meets the highest possible standards of reliability. That shall be accomplished through the initial and continual evaluation of individuals assigned to PRP duties. The management of the PRP is a function of command. However, each person assigned to PRP duties has an obligation to report any behavior or circumstance about themselves or others in the PRP that may or could be expected to result in a degradation in job performance or personal reliability or an unsafe or insecure condition involving nuclear weapons. The PRP supporting agencies and supervisors of individuals performing PRP duties shall assist the reviewing and certifying officials in their initial and continuing evaluation duties by ensuring that all potentially disqualifying information is made available for their consideration.

E4.1.2. Designation of Reviewing and Certifying Officials. The Heads of the DoD Components shall establish procedures for formally designating the reviewing officials and certifying officials. The certifying officials shall be designated as "critical" or "controlled" PRP positions commensurate with the highest category of any nuclear duty position in the unit or activity concerned. Additionally, the reviewing and certifying officials, the installation PRP monitor, and the competent medical authority should receive initial or refresher PRP training and be thoroughly briefed on their PRP management and oversight responsibilities.

E4.1.3. Designation of Competent Medical Authority. The Heads of the DoD Components shall establish procedures to appoint an agency or installation competent medical authority to act as a PRP medical consultant to provide recommendations to the reviewing and certifying officials on individuals' suitability to perform PRP duties.

E4.1.4. Agency and Installation PRP Monitor. DoD Agencies and installations whose PRP consists of 100, or more, personnel should consider appointing a PRP monitor to administer the day-to-day functions of the PRP. The Agency or installation PRP monitor would coordinate and disseminate PRP information to the reviewing and certifying officials, unit commanders, PRP monitors, and supporting staff agencies; indoctrinate and train unit PRP monitors and PRP personnel on program objectives and

procedures; maintain the installation PRP roster; and conduct staff assistance visits to all subordinate units with a PRP.

E4.1.5. PRP Review and Evaluation. The Heads of the DoD Components shall ensure that the PRP is reviewed and evaluated during appropriate inspections and staff visits at all levels of command. The results of those inspections shall be reviewed periodically at the highest level in the DoD Component to ensure effective and consistent application of the PRP.

E4.2. RELIABILITY STANDARDS

The certifying official shall make a judgment on the reliability of an individual based on an investigation and evaluation of the individual's personnel security eligibility, physical and mental capability, personnel and medical records, and a personal interview. The certifying official shall consider all relevant facts on the individual's current and past duty performance, the recommendations expressed in the PSIs and medical evaluations, and the opinions of other Agencies and personnel, as appropriate, to make the final judgment about an individual's reliability and whether he or she can be depended on to respond in a reasonably stable manner when performing PRP duties. The following PRP qualifying and disqualifying standards shall be used by the certifying official in making that judgment:

E4.2.1. Qualifying

E4.2.1.1. Criteria. The following represent the reliability standards expected of all PRP members:

E4.2.1.1.1. Physical competence, mental alertness, and technical proficiency commensurate with duty requirements.

E4.2.1.1.2. Evidence of dependability in accepting responsibilities and effectively performing in an approved manner; flexibility in adjusting to changes in the working environment.

E4.2.1.1.3. Evidence of good social adjustment, emotional stability, and ability to exercise sound judgment in meeting adverse or emergency situations.

E4.2.1.1.4. Positive attitude toward nuclear weapon duty, to include the purpose of the PRP.

E4.2.1.2. The PSI. A favorable investigation conducted in accordance with DoD 5200.2-R (reference (e)) reflecting an affirmative finding that an individual's personnel security eligibility is consistent with the interest of national security.

E4.2.1.3. Medical Evaluation. The certifying official must be totally confident that the individual being certified is both capable and reliable. To accomplish that, the certifying official must be provided an evaluation of the individual's physical capability and mental reliability to perform PRP duties by a competent medical authority. All potentially disqualifying medical information must be documented in the individual's health records. The competent medical authority's principal responsibility is to provide the certifying official with sufficient medical information to make a sound judgment on an individual's suitability to perform PRP duties.

E4.2.1.4. Personnel Records Review. Look for evidence of the individual's acceptance of responsibility, exercise of sound judgment, effective performance, and ability to adjust to changes in the working environment.

E4.2.1.5. Personal Interview. A personal interview shall be conducted by the certifying official with each candidate for PRP duties. The personal interview shall not be conducted as a part of a routine orientation briefing for new personnel.

E4.2.1.6. Position Qualification. Demonstrated and certified technical proficiency commensurate with nuclear weapon duty position requirements, in accordance with DoD Directive 5210.41 reference (f)).

E4.2.2. Disqualifying and/or Decertifying

E4.2.2.1. Any of the following traits or conduct shall be grounds for the disqualification or decertification of individuals from the PRP. In evaluating such traits or conduct, certifying and reviewing officials shall ensure that there is no reasonable doubt of an individual's reliability and that it is in the best interest of the national security that the individual be assigned to duties involving nuclear weapons.

E4.2.2.1.1. Alcohol Abuse. See enclosure 2, definition E2.1.4.

E4.2.2.1.1.1. Individuals diagnosed as "alcohol dependent," in accordance with DoD Directive 1010.4 (reference (c)), shall be decertified from the PRP.

E4.2.2.1.1.1.1. Individuals permanently decertified for alcohol abuse may be reconsidered for PRP duties after successful completion of an initial inpatient rehabilitation program, if prescribed, followed by a 1-year period of strict compliance with aftercare program requirements, regular and frequent participation in meetings of Alcoholics Anonymous or a similar organization, and total abstention from alcohol. A PRP qualification screening, to include a favorable prognosis by the competent medical authority, to include psychological evaluation, shall be completed before requesting reinstatement. Failure to satisfactorily complete the 1-year formal aftercare program or any alcohol incident subsequent to reinstatement shall result in permanent decertification from PRP duties.

E4.2.2.1.1.1.2. Individuals temporarily decertified may have their temporary decertification removed and be returned to PRP duties after successfully completing at least 180 days of the 1-year period aftercare program. A PRP qualification screening, to include a favorable prognosis by the competent medical authority, shall be completed before rescreening or recertification. Failure to satisfactorily complete the 1-year formal aftercare program, or any alcohol incident subsequent to recertification, shall result in permanent decertification from PRP duties.

E4.2.2.1.1.2. Individuals diagnosed as "alcohol abusers," but who are not alcohol dependent, as defined by DoD Directive 1010.4, (reference (c)), shall, at a minimum, be temporarily decertified. Those individuals may have their temporary decertification removed and be returned to PRP duties after successfully completing a minimum 180-day rehabilitation program, or treatment regimen, prescribed by the competent medical authority, positive changes in job reliability and lifestyle, and a favorable medical prognosis by the competent medical authority. Failure to satisfactorily meet these requirements, or involvement in another alcohol incident subsequent to recertification, shall result in permanent decertification from PRP duties.

E4.2.2.1.1.3. Individuals involved in an alcohol incident and for whom a formal counseling program has been prescribed shall be suspended from performing PRP duties to allow for a full investigation and medical evaluation. If recertification of PRP duties does not occur within 30 days, a temporary or permanent decertification action shall be taken, as appropriate.

E4.2.2.1.2. Drug Abuse

E4.2.2.1.2.1. See definition E2.1.15. in enclosure 2. It is not the

intent of this Directive to automatically render ineligible for the PRP any individual who, before the effective date of this Directive, has disclosed pre-Service drug abuse, or who has not yet been asked to make such disclosure, and who is currently certified for PRP duties after having been formally screened in accordance with then-existing guidance. Further recertification of such individuals for future PRP status shall be in accordance with this Directive, except that previously disclosed and considered drug abuse and pre-Service drug use not required previously to be disclosed, shall not be sole grounds for denial of recertification or for mandatory decertification.

E4.2.2.1.2.2. Except for the category of individuals identified in subparagraph E4.2.2.1.2.1., above, or otherwise provided in this Directive, any pre-Service use, admitted or otherwise discovered, of illicit drugs such as heroin, heroin derivatives, cocaine, "crack," phencyclidine (PCP), lysergic acid diethylamide (LSD), "ecstasy," or other "designer" drugs, amphetamines, barbiturates, or other narcotic drugs not prescribed by proper medical authorities, and anabolic steroids shall render an individual ineligible for admission to or retention in PRP duties. The individual shall not be certified into the program or shall be permanently decertified, and those actions shall be made a matter of permanent record.

E4.2.2.1.2.3. Any individual found to have been involved in the unauthorized trafficking, cultivating, processing, manufacturing, or sale of any narcotic or dangerous drug, such as those mentioned above, and marijuana or cannabis-based products, shall render an individual ineligible for PRP duties.

E4.2.2.1.2.4. Any individual who abuses drugs while in the PRP shall be immediately permanently decertified.

E4.2.2.1.2.5. Pre-Service experimental or infrequent use of cannabis products does not necessarily render an individual ineligible for consideration for or retention in a PRP position. An individual who (having disclosed pre-Service experimentation or infrequent use of marijuana, hashish, or other cannabis-based products) was certified into the PRP may be retained in the program if there is no additional information that would cause the certifying official to doubt the individual's reliability. It is incumbent on the certifying official to determine the degree to which the pre-Service use impacts the reliability of the individual being considered. If the certifying official has any reason to doubt or suspect an individual's reliability for PRP duties, the following actions shall be taken:

E4.2.2.1.2.5.1. The individual concerned shall be immediately temporarily decertified.

E4.2.2.1.2.5.2. A complete evaluation shall be conducted of the individual's drug abuse involvement and current and past PRP duty performance.

E4.2.2.1.2.5.3. A PRP qualification rescreening (to include a complete medical evaluation) shall be started.

E4.2.2.1.2.5.4. Removal of the temporary decertification and recertification into the PRP shall require thorough justification and documentation for recommendation for retention in PRP duties, a determination that recertification is in the best interest of the Service and national security, and statements by the reviewing and certifying officials that all reasonable doubt of the individual's reliability has been removed.

E4.2.2.1.2.5.5. Individuals determined to be ineligible for recertification to PRP duties shall be permanently decertified, and that action shall be made a matter of permanent record.

E4.2.2.2. Negligence or Delinquency in Performance of Duty. Because a good indication of reliability is past performance, the certifying official shall review the PRP candidate's job or duty history for evidence of desirable traits, such as dependability, flexibility, and good judgment. In determining reliability, the certifying official must evaluate all aspects of an individual's actions. For example, clear instances of youthful indiscretion are not necessarily proof of negligence or unreliability.

E4.2.2.3. Conviction of, or Involvement in, a Serious Incident. A PRP candidate's background shall be reviewed for evidence of conviction by a military or civil court of a serious offense or a pattern of behavior or actions that is reasonably indicative of a contemptuous attitude toward the law or other duly constituted authority. Serious incidents include, but are not limited to, misdemeanor offenses, assault, sexual misconduct, financial irresponsibility, an inordinate number of traffic offenses, and child or spouse abuse.

E4.2.2.4. Medical Condition. Any significant physical or mental condition substantiated by the competent medical authority, or characteristic of aberrant behavior considered by the certifying official to be prejudicial to reliable performance of the duties of a particular critical or controlled position.

E4.2.2.5. Serious Progressive Illnesses. Certifying officials shall be notified immediately of any individual being considered for or currently performing in

a PRP position who has been diagnosed with a serious progressive illness, to include being diagnosed with active Acquired-Immune Deficiency Syndrome (AIDS) or testing positive for the Human Immunodeficiency Virus (HIV). The certifying official shall take the necessary actions to ensure that the individual is properly screened both medically and psychologically. However, individuals with AIDS or who are HIV positive shall not be treated differently than other individuals with a serious progressive illness solely on the basis of being diagnosed with AIDS or testing HIV positive. As with all potentially disqualifying medical conditions, the certifying official must decide each case on the specific medical and other pertinent evaluations of the individual involved. The primary consideration in all determinations must be in the best interest of national security.

E4.2.2.6. Poor Attitude or Lack of Motivation. Any display of poor attitude or lack of motivation as evidenced by aberrant attitude (arrogance, inflexibility, or suspiciousness), behavior (impulsiveness, destructiveness, or suicide threats), or mood (unusual happiness, sadness, or agitation).

E4.3. PRP POSITIONS

E4.3.1. General. Because of the diversity of position titles and duties in the DoD Components, the reliability standards established in section E4.2., above, shall be used to determine an individual's eligibility for a PRP position. All PRP positions shall be formally designated as either "critical" or controlled" (see DoD 5200.2-R, reference (e)) and shall be restricted to the minimum number required to accomplish the mission. Only certified personnel shall be assigned to designated PRP positions and when PRP positions become vacant, certified personnel shall be assigned as rapidly as possible. Examples of typical PRP positions are shown in enclosure 3.

E4.3.2. Review of PRP Positions. Certifying officials shall reevaluate designated PRP positions annually to determine the need for additional positions or the cancellation of unnecessary positions.

E4.3.3. PRP Position Eligibility. Eligibility for assignment to PRP positions, subject to the reliability standards in section E4.2., above, shall be confirmed in writing by a certifying official. Before an individual assumes PRP duties, it shall be certified that the individual has had the required PSI and clearance, been screened in accordance with the reliability standards, been personally interviewed by the certifying official, and been found eligible and qualified for assignment to a PRP position.

E4.4. PRP SCREENING PROCEDURES

Determination of initial acceptability for assignment to PRP positions shall be made by the certifying official on the basis of the following:

E4.4.1. Initial Screening

E4.4.1.1. Security Investigation and Security Clearance

E4.4.1.1.1. Critical Position. A current SSBI conducted in accordance with DoD 5200.2-R (reference (e)) and a current security clearance at a level commensurate with the security classification of information required in the position. If appropriate, a review of the results of the SSBI shall be conducted by the certifying official. No such review is required if the Agency that conducted the investigation and the CAF have discovered neither derogatory nor potentially disqualifying information. Additionally, personnel selected for designated NC2 PRP positions, in accordance with DoD Directive S-5210.81 (reference (g)) shall be subject to a periodic counterintelligence-scope polygraph (CSP) examination administered in accordance with DoD 5210.48-R (reference (h)). CSP examinations should be conducted by the respective Service and/or Agency investigative organization. If it becomes necessary to consider an individual for a critical position and the required SSBI and/or CSP have not been completed, interim certification may be made under the following carefully controlled conditions:

E4.4.1.1.1.1. The individual shall have had a favorable NAC and/or NACI in the past 5 years without a break in active Federal service or employment longer than 2 years; or have had a favorable SSBI, SBI, or Background Investigation (BI) conducted before December 1, 1991, more than 5 years old, and has not had a break in active Federal service or employment longer than 2 years. Service as a cadet at any of the four Service academies may be considered "active service."

E4.4.1.1.1.2. The SSBI, and the CSP if required, shall have been requested before interim certification and all other requirements of the PRP screening process shall have been fulfilled.

E4.4.1.1.1.3. The individual shall be identified to supervisory personnel, entry controllers who directly control access to exclusion areas, and others as necessary, as having only interim certification and entry authorization lists and individual access media shall be specifically marked to designate interim certification

status.

E4.4.1.1.1.4. The individual shall not be paired in a two-person team with another individual also having only an interim PRP certification.

E4.4.1.1.1.5. Should the SSBI not be completed within 180 days of the date requested, the certifying official, through the command security manager to the appropriate DoD Component CAF, shall ascertain from the Defense Investigative Service (DIS) the reason for delay in completion. The certifying official shall then determine whether to continue or withdraw the interim certification.

E4.4.1.1.2. Controlled Position. A NAC and/or NACI, conducted in accordance with DoD 5200.2-R (reference (e)) and a current security clearance at a level commensurate with the security classification of information required in the position. An ENTNAC completed for first-term enlistment or induction into the Armed Forces satisfies this requirement. Interim certification is authorized for an individual who does not meet the requirement of a current ENTNAC, NAC, and/or NACI (to include a credit check), that is, completed within the past 5 years, subject to the following conditions:

E4.4.1.1.2.1. The individual's favorable ENTNAC and/or NAC and/or NACI and/or BI and/or SSBI is more than 5-years old, and no break in active Federal service or employment has exceeded 2 years. Service as a cadet at any of the four Service academies may be considered "active service."

E4.4.1.1.2.2. A new NAC and/or NACI shall have been requested and all other requirements of the PRP screening processing shall have been fulfilled.

E4.4.1.1.2.3. The individual shall be identified to supervisory personnel, entry controllers who directly control access to exclusion areas, and others as necessary, as having interim certification status. Entry authorization lists and individual access media shall be specifically marked to designate interim certification status.

E4.4.1.1.2.4. The individual shall not be paired in a two-person team with another individual also having only an interim PRP certification.

E4.4.1.1.2.5. Should the NAC and/or the NACI (to include a credit check) not be completed within 90 days of the date requested, the certifying official, through the command security manager to the appropriate CAF, shall ascertain from the DIS the reason for delay in completion. The certifying official shall then

determine whether to continue or withdraw the interim certification.

E4.4.1.1.3. Fulfilling Investigative Requirements. The investigative requirements in subparagraphs E4.4.1.1.1. and E4.4.1.1.2. of this enclosure, above, shall have been met when the investigation on which certification depends was completed within 5 years of the date of initial assignment to a PRP position and no break in active Federal service or employment longer than 2 years occurred between completion of the investigation and initial assignment. In cases where the investigation ended more than 5 years before initial assignment or where a break in active Federal service or employment exceeded 2 years after completion of the investigation, a new investigation is required.

E4.4.1.2. Medical Evaluation

E4.4.1.2.1. As part of the required screening process, medical histories and records, if they are sufficiently comprehensive and current for the purpose, shall be evaluated to determine the candidate's physical and mental qualifications under the standards for the PRP.

E4.4.1.2.1.1. Screening of medical records must be performed by a competent medical authority (see definition E2.1.8., in enclosure 2) or other medical personnel specifically trained and formally designated to perform that function. When the review is accomplished by other than the competent medical authority and raises a question or identifies potentially disqualifying information about an individual's physical capability or mental suitability for assignment to a PRP position, the records shall be referred to the competent medical authority for further evaluation or medical examination. The results of that review by the competent medical authority and all potentially disqualifying information shall be provided to the certifying official who shall make the determination on the individual's eligibility to perform PRP duties.

E4.4.1.2.1.2. If available medical records are inadequate, the competent medical authority shall conduct a medical examination to determine medical qualification under PRP standards. That medical evaluation shall include a mental health consultation when indicated.

E4.4.1.2.2. The competent medical authority shall advise the certifying official and, when appropriate, the reviewing official, on all aspects of any condition that may reflect on an individual's suitability for assignment to a PRP position. The certifying official shall also be advised of any medical condition, prescribed medication, or treatment that could detract from the ability of an individual in the PRP

to perform assigned duties.

E4.4.1.2.2.1. Nonmedical PRP certifying and reviewing officials are authorized to review medical records of candidates and members of the PRP to make determinations required by this Directive. In accordance with DoD Directives 5400.7 and 5400.11 (references (i) and (j)), medical records may be disclosed to reviewing and certifying officials for this purpose without either a request from, or the consent of, the individuals to whom those records pertain.

E4.4.1.2.2.2. Because of the sensitive and confidential nature of the records, review authority shall extend only to the reviewing and certifying officials and designated inspectors. When appropriate, such review shall be conducted with the assistance of a physician who can advise on medical record data that might otherwise be misinterpreted.

E4.4.1.2.2.3. When non-U.S. or non-DoD physicians or facilities provide medical support, responsible U.S. medical personnel shall ensure that medical information about personnel in the PRP is reported to the certifying official. Individuals in the PRP who obtain medical treatment by non-U.S. or non-DoD physicians or facilities shall be instructed to notify the certifying official.

E4.4.1.2.2.4. The Heads of the DoD Components shall ensure that all medical services personnel have been instructed in the purpose of the PRP and have been advised of their reporting responsibilities.

E4.4.1.2.3. Personnel File Review. The individual's personnel file, other official records, and information locally available on behavior or conduct about the individual's reliability shall be reviewed in detail.

E4.4.1.2.4. Personal Interview. A personal interview by the certifying official shall inform the individual of the significance of the assignment, PRP standards, the need for reliable performance, the individual's responsibility for self-reporting and peer review of factors and situations that could adversely affect job performance or reliability. The certifying official shall ensure that the individual presents a positive attitude toward the PRP and performing nuclear weapon duties.

E4.4.1.2.5. Proficiency Qualification. It shall be certified, in accordance with DoD Directive 5210.11 (reference (f)) that the individual has had the formal course of instruction and/or possesses the minimum level of experience required for assignment to a particular critical or controlled PRP position and is

proficient in the duties, to include on-the-job training under supervision, to be performed.

E4.4.2. Subsequent Screening

E4.4.2.1. General. When a PRP certified individual is transferred to another PRP position, he or she must be interviewed by the new certifying official. A rescreening of medical and personnel records shall be conducted when they are moved to a new organization or location for the transfer. The rescreening of records shall ensure that the new certifying official has current and complete information about the individual's job performance and reliability before the interview.

E4.4.2.2. Transferring PRP Certifications. When an individual is moving from one PRP position to another, records of the prior PRP certifications should be considered favorably in accepting the individual for the new assignment.

E4.4.2.3. Personnel Security Investigation. A new PSI shall be required under the following *conditions*:

E4.4.2.3.1. *The individual has been out of the PRP for more than 5 years; or*

E4.4.2.3.2. *A break in active Federal service or Government employment exceeded 2 years; or*

E4.4.2.3.3. *Significant derogatory or questionable information or allegations have been provided to the certifying official.*

E4.5. CERTIFICATION

The certifying official shall confirm an individual's eligibility, subject to the reliability standards in section E4.4.2. of this enclosure, above, before that individual begins performing PRP duties. Certification shall be formally documented and maintained while the individual is performing PRP duties.

E4.6. CONTINUING EVALUATION

E4.6.1. General. Certifying officials shall ensure that all personnel assigned to PRP positions are subject to a continuing evaluation of their reliability. Certifying officials are responsible for ensuring that all military, civilian, and contractor personnel

assigned to PRP positions meet all of the requirements of the continuing evaluation process.

E4.6.1.1. The PSI. *All civilian* and contractor personnel assigned to PRP positions shall be subject to a PR every 5 years, in accordance with DoD 5200.2-R (reference (e)). Minimally, the PR shall consist of a SSBI, a NAC, and/or NACI (as appropriate), a credit check for critical positions, and additional written inquiries or investigation as necessary. Additionally, personnel selected for designated NC2 PRP positions, in accordance with DoD Directive S-5210.81 (reference (g)), shall be *subject to a* periodic CSP examination administered in accordance with DoD Directive 5210.48-R (reference (h)). Personnel records shall be marked to reflect assignment of an individual to a PRP position and shall be conspicuously visible to personnel officials.

E4.6.1.2. Medical Evaluation. Each time a PRP-certified individual visits a healthcare provider, the competent medical authority must determine PRP reliability effects and, if warranted, make recommendations to the certifying official. All potentially disqualifying information of a medical nature shall be documented in the individual's health records that shall be marked to reflect assignment of an individual to a PRP position and shall be conspicuously visible to healthcare providers. When an individual's duty performance may be impaired by medical care or the use of prescribed medication, as determined by the competent medical authority (or dental authority when dental treatment is involved), the certifying official shall be notified to decide if the individual shall be suspended from duty involving nuclear weapons for the period of medical care or use of medication. It is not the intent of the PRP to automatically decertify an individual who has an illness, injury, or disease that requires hospitalization, placement on quarters, or extended leave of absence unless the condition is diagnosed to be of a long-term or permanent nature, or otherwise appropriate.

E4.6.1.2.1. As a part of the required screening process, medical histories and records, if they are sufficiently comprehensive and current for the purpose, shall be evaluated to determine the candidate's physical and mental condition and qualifications under the standards of the PRP. Screening of medical records shall be performed by competent medical authority (see definition E2.1.8, enclosure 2) or other personnel specifically trained and designated to perform that function. If the review is accomplished by other than competent medical authority, and such review raises a question of the individual's physical or mental suitability for assignment to a PRP position, the case shall be referred to competent medical authority for evaluation or additional medical examination. If available medical records are inadequate,

competent medical authority shall conduct a medical examination to determine medical qualification under PRP standards. That medical evaluation shall include psychiatric aspects of the case, involving psychiatric consultation when indicated.

E4.6.1.2.2. The certifying official shall be notified immediately by the competent medical authority when a significant effect on the individual's physical or mental abilities is expected or if an individual's behavior indicates emotional instability, drug or alcohol abuse, or the need for treatment with narcotics, sedatives, or tranquilizers. If an individual's reliability is not in question, the certifying official shall assess the individual's condition, obtain a medical evaluation of the potential effects of any medication or treatment that may have been prescribed or purchased over-the-counter, discuss with the individual the previous effects of such medication or treatment, if appropriate, and then decide if either suspension, decertification, or return to PRP duties is appropriate. If there is a doubt or disagreement among healthcare providers about an individual's reliability, the certifying official shall be notified and provided sufficient information to make the final PRP determination.

E4.6.1.2.3. When a PRP individual has received nonmilitary medical or dental treatment (including Civilian Health and Medical Program of the Uniformed Services referrals), the competent medical authority shall review and determine the effect of the care on the individual. The results of that evaluation shall be recorded in the individual's medical records and the certifying official shall be notified to decide if a suspension or decertification action is warranted.

E4.6.1.2.4. Hypnosis should not be administered to individuals certified under the PRP without the knowledge and consent of the individual's certifying official. When screening an individual for PRP duties who has been administered hypnosis, the certifying official should determine, in coordination with the competent medical authority, if any potential for degraded job performance or diminished reliability exists.

E4.6.1.2.5. Because of the danger to public health and safety or to U.S. national security that might result from the failure of an individual performing PRP duties to perform reliably, mandatory substance abuse testing of all military, civilian, and contractor personnel assigned to PRP duties shall be conducted in accordance with DoD Directives 1010.1 and 1010.9 (references (k) and (1)). The Heads of the DoD Components shall ensure that a substance abuse testing program is established for all personnel assigned to PRP positions. The extent to which PRP personnel shall be tested and the criteria for testing shall be determined by the Heads of the DoD Components. However, substance abuse testing for personnel assigned to specially

designated NC2 PRP positions (subsequent to the publication of this Directive) shall be administered before the individuals assuming those duties.

E4.6.1.3. Individual and Supervisor Responsibilities. Individuals assigned to PRP duties are responsible for monitoring their own reliability and the reliability of others performing PRP duties. The failure to discharge those responsibilities may cast doubt on an individual's reliability. Individuals shall be aware of how problems, concerns, and circumstances may reduce individual effectiveness and impair capability or reliability. Individuals shall advise their supervisors or certifying official of any factors that could have an adverse impact on their performance, reliability, or safety while performing PRP duties. Individuals shall inform support agencies of their active PRP status before treatment or consultation and shall inform their supervisor or certifying official when another individual in the PRP appears to be involved in situations that may affect reliability. Supervisors are responsible for monitoring the reliability of their subordinates and shall notify the certifying official of any potentially disqualifying information. An individual whose assignment is subject to the standards in section E4.2., above, shall be identified to all supervisors so information that raises questions about that individual's judgment or reliability can be reported and acted on without delay.

E4.6.1.4. Criminal Investigation of PRP Individuals. The Heads of the DoD Components shall ensure that DoD criminal investigative Agencies immediately notify the certifying official of an individual in the PRP who is under investigation and the circumstances of the investigation. The certifying official is not required to immediately suspend or decertify an individual solely because an investigation has been started. Any actions taken shall depend on the nature of the allegations and the sensitivity of the individual's PRP duties. After careful review of all the information, the certifying official may either suspend, decertify, or allow the individual under investigation to continue in PRP duties. In making that determination, nuclear surety shall be the primary consideration and shall not be compromised to aid an investigation. Regardless of the status of the investigation, when nuclear surety is determined to be in jeopardy, the certifying official shall immediately remove the individual from the PRP.

E4.6.1.5. Contractor PRP Continuing Evaluation. Contractor employees who have been determined eligible and have been assigned to PRP positions shall be identified to the Defense Industrial Security Clearance Office (DISCO), P.O. Box 2499, Columbus, Ohio 43216-5006. On receipt of any information that may affect the reliability or trustworthiness of a contractor employee under the PRP, the DISCO shall forward that information to the appropriate certifying official.

E4.7. DECERTIFICATION

E4.7.1. General. Any individual who fails to meet the reliability standards specified in this Directive shall not be assigned to, or continued in, duties of a PRP position. A certification of PRP acceptability shall be revoked immediately on a certifying official's determination that an individual no longer meets the standards in this Directive. The certification shall terminate administratively when an individual transfers from a PRP position to one not requiring certification.

E4.7.1.1. Suspension. That action is used to immediately remove a member from PRP duties without starting a decertification action. Although a recommendation to suspend an individual from PRP duties may come from many sources, the certifying official must evaluate the situation and determine whether suspension is appropriate. When suspended, a member is still considered to be reliable for the PRP, but because of the circumstances, is not authorized to perform PRP duties.

E4.7.1.1.1. Suspension shall be used only when the individual's reliability is not in question, when the problem is expected to be of short duration, and while conducting an investigation or medical evaluation to determine if a situation or incident could have an adverse effect on an individual's reliability.

E4.7.1.1.2. A suspension requires that the certifying official remove the individual from duties requiring PRP certification, notify the individual and his or her supervisor of the nature and circumstances about the suspension, and resolve the issue within 30 days. If the issue cannot be resolved, or if the cause of the suspension lasts longer than 30 days, the individual shall be temporarily decertified until the issue is resolved and the individual is either returned to PRP duties or permanently decertified.

E4.7.1.2. Temporary Decertification. Temporary decertification from PRP duties shall occur immediately on receipt of information that is, or appears to be, a reason for decertification from the PRP. That action shall be taken when the certifying official has information that could be expected to affect an individual's job performance or reliability and suspension is not appropriate. Temporary decertification shall not be used if the facts dictate permanent decertification and, when temporarily decertified, the individual may not perform PRP duties. Individuals removed temporarily shall be notified in writing within 15 workdays by the certifying official indicating the reasons for temporary decertification, unless returned earlier to PRP duties.

E4.7.1.2.1. The certifying official shall investigate all information essential to a decision about revoking the temporary decertification or invoking a permanent decertification. During suspected alcohol or drug abuse, the investigation shall include a medical evaluation by the competent medical authority.

E4.7.1.2.2. Temporary decertification shall not normally exceed 180 days. However, the certifying official may extend the period of temporary decertification in 30-day increments up to 270 days, if appropriate, when there is not sufficient information to either remove the temporary decertification and return the individual to PRP duties or to permanently decertify the member. Extensions shall be documented.

E4.7.1.3. Permanent Decertification. Individuals who are determined by the certifying official to no longer meet the reliability standards specified in that Directive shall be permanently decertified. The certifying official shall advise the individual in writing within 15 workdays of the determination, the reasons for decertification, and of the requirement for review by the reviewing official.

E4.7.1.3.1. To ensure uniform application of the reliability standards specified by this Directive and effective use of personnel, consistent with the purpose of the PRP, the reviewing official shall review each case involving a permanent decertification decision. The reviewing official may seek additional information or explanations of extenuating circumstances from the certifying official, the competent medical authority, personnel officials, and the individual concerned if appropriate.

E4.7.1.3.2. Following the review of the permanent decertification action, the reviewing official shall notify the individual and the certifying official of the findings and conclusion within 15 days. In the case of a DoD contractor employee, the contractor shall be told only that the employee has been decertified and must be reassigned to non-PRP duties in compliance with contractual requirements.

E4.7.1.3.3. If the reviewing official approves the permanent decertification, the individual shall be reassigned to a position not requiring PRP certification and the action shall be made a matter of permanent record.

E4.8. CONTRACTOR PRP REQUIREMENTS

Certifying officials for contractors whose duties are subject to the PRP shall ensure that contracts require that contractor employees performing duties in PRP positions

under this Directive shall meet the reliability standards of the PRP. Specifically, the contractor shall:

E4.8.1. Instruct managerial, supervisory, medical, personnel, and other support agencies and offices on the purpose, standards, and procedures of the PRP.

E4.8.2. Inform and instruct each employee of the significance of the assignment, PRP standards, the need for reliable performance, and the individual's responsibility for self-reporting and peer review of factors and situations that could adversely affect job performance or reliability. The contractor shall ensure that the individual presents a positive attitude toward the PRP and performing nuclear weapon duties and understands that maintaining PRP standards is a condition of continued employment.

E4.8.3. Ensure that employees to be assigned to a PRP position are subjected to a PSI, medical record evaluation, substance abuse testing, personal interview, proficiency certification, and continuing evaluation, according to the certifying official, under the reliability standards of the PRP.

E4.8.4. Provide the certifying official with results of a PSI, medical record evaluation, and substance abuse testing of any contractor employee assigned, or proposed to be assigned, to a PRP position. Immediately report any other information about an employee maintaining the reliability standards of the PRP.

E4.8.5. Provide for the continuing evaluation of employees assigned to PRP positions by contractor supervisory personnel, except when such employees are assigned to a DoD Component under the direct supervision of DoD personnel where the certifying official shall be responsible for that function.

E4.8.6. Remove an employee from a PRP position on notification by the certifying official that the employee has been suspended or decertified and notify the certifying official immediately of the removal action, and follow-up in writing within 15 days. Suspension or temporary decertification from PRP duties requires as follows that:

E4.8.6.1. The employee shall be instructed to cease performance of PRP duties. Removal from PRP duties does not constitute a determination that the employee lacks necessary emotional or mental stability or physical capability to perform duties properly. It does indicate that there is a question about the employee's suitability that warrants the restriction from PRP duties until the question is resolved.

E4.8.6.2. The employee shall be prevented from entering any facility that

would allow the individual access to areas containing nuclear weapons, and the employee's entry credentials shall be confiscated or deleted from the system.

E4.8.6.3. The employee shall be removed from a PRP position on notification by the certifying official that the employee has failed to meet PRP reliability standards and has been permanently decertified. That action shall be made a matter of permanent record.

E4.8.7. Provide to the Defense Industrial Security Clearance Office (DISCO), P.O. Box 2499, Columbus, OH 43216-5006, a current list of all contractor employees assigned to PRP positions. The list shall include full name and social security account number, name, and address of the employing contractor facility, and the name, address, and telephone number of the certifying official.

E5. ENCLOSURE 5

INSTRUCTIONS FOR PREPARATION OF THE PRP ANNUAL STATUS REPORT
(RCS: DD-C3I(A)1403)

E5.1.1. Each DoD Component maintaining a PRP shall provide an annual program status report to the ASD(C3I) by February 15 of the following year. The annual status report shall include, for the preceding calendar year ending December 31, PRP certification and permanent decertification statistics by Component and category of personnel (e.g., Air Force (military); Federal and/or DoD civilian; and defense contractor), in accordance with the attached format.

Attachments - 1

E5.A1. Annual PRP Status Report Format

E5.A1. ATTACHMENT 1 TO ENCLOSURE 5

DEPARTMENT OF DEFENSE
DoD NUCLEAR WEAPON PERSONNEL RELIABILITY PROGRAM
ANNUAL STATUS, REPORT (RCS: DD-C3I(A) 1403)
Calendar Year Ending December 31, 19

DoD Component: _____ Category of Personnel: _____

A. Total number of certified personnel in the PRP:

	<u>United States</u>	<u>Europe</u>	<u>Pacific</u>	<u>Total</u>
1. Critical				
2. Controlled				
Total				

B. Total number of permanent PRP decertifications

1. Critical				
2. Controlled				
Total				

C. Number of PRP personnel permanently decertified subsequent to certification by disqualification category:

1. Alcohol Abuse				
a. Critical				
b. Controlled				
Total				
2. Drug Abuse				
a. Critical				
b. Controlled				
Total				
3. Negligence or delinquency in performance of duty				
a. Critical				
b. Controlled				
Total				

C.1. Number of personnel permanently decertified subsequent to certification by disqualification category (continued):

	<u>United States</u>	<u>Europe</u>	<u>Pacific</u>	<u>Total</u>
4. Conviction by a military or a civilian court of a serious offense; a pattern of behavior indicative of a contemptuous attitude toward the law or other duly constituted authority				
a. Critical				
b. Controlled				
Total				
5. Any significant physical or mental condition substantiated by a competent medical authority; aberrant behavior considered by the certifying official as prejudicial to reliable duty performance in a PRP critical or controlled position				
a. Critical				
b. Controlled				
Total				
6. Poor attitude or lack of motivation				
a. Critical				
b. Controlled				
Total				

C.2. Drug abuse
decertifications
by type
(continued)

PRP Position Category	<u>United States</u>		<u>Europe</u>		<u>Pacific</u>		<u>Total</u>		
	Crit	Cont	Crit	Cont	Crit	Cont	Crit	Cont	
a. Narcotics									
b. Depressants									
c. Stimulants									
d. Hallucinogens									
e. Cannabis									
f. Anabolic Steroids									
Total									

C.3. Serious offense
decertifications
by type
(continued)

PRP Position Category	Crit	Cont	Crit	Cont	Crit	Cont	Crit	Cont	Total
a. Military conviction									
b. Civilian conviction									
c. Behavior pattern									
d. Other									
Total									

C.4. Physical and/or
mental
decertifications
(continued)

PRP Position Category	Crit	Cont	Crit	Cont	Crit	Cont	Crit	Cont	Total
a. Physical condition									
b. Mental condition									
c. Aberrant behavior									
d. Other									
Total									

C.5. Poor attitude,
lack of
motivation
decertifications
by type
(continued)

	<u>United States</u>		<u>Europe</u>		<u>Pacific</u>		<u>Total</u>		
PRP Position Category	Crit	Cont	Crit	Cont	Crit	Cont	Crit	Cont	
a. Attitude									
b. Behavior or activity									
c. Mood and feeling									
d. Other									
Total									

D. Remarks and additional comments or information: